

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Nozer M. Mehta, et al.

Serial No.: 09/060,765

Filed: April 15, 1998

For: DIRECT EXPRESSION OF PEPTIDES INTO CULTURE MEDIA

Hon. Commissioner of Patents

and Trademarks

Washington, D.C. 20231

Attention: Refund Section  
Accounting Division  
Office of Finance

Date: June 25, 1998

Art Unit: 1801

SUBMISSION OF SMALL ENTITY DECLARATION

Sir:

Submitted herewith is a form by which applicant claims small entity status on the above-identified patent application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on June 25, 1998:

WILLIAM O. GRAY, III

Name of applicant, assignee or  
Registered Representative

Signature

June 25, 1998

Date of Signature

Respectfully submitted,

WILLIAM O. GRAY, III

Registration No.: 30,944

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Serial or Patent No.: 09/060 OFGS File No. 192  
Filing or Issue Date: April 15, 1998  
Applicant or Patentee: Nozer M. Mehta, et al.  
For: DIRECT EXPRESSION OF PEPTIDES INTO CULTURE MEDIA

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
37 CFR 1.9(f) and 1.27(c) - SMALL BUSINESS CONCERN

I hereby declare that with regard to the small business concern identified below I am  
[ ] the owner of the small business concern  
[XX] an official of the small business concern empowered to act on behalf of same  
NAME OF CONCERN: UNIGENE LABORATORIES, INC.  
ADDRESS OF CONCERN: 110 LITTLE FALLS ROAD, FAIRFIELD, NEW JERSEY 07004

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 1.21.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under 35 USC §41(a) and (b) in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns the affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled DIRECT EXPRESSION OF PEPTIDES INTO CULTURE MEDIA by inventor(s) Nozer M. Mehta, Angelo P. Consalvo, Martha V. L. Ray and Christopher P. Meenan described in  
[ ] U.S. Patent Application filed herewith  
[xx] U.S. Patent Application Serial No. 09/060,765 filed April 15, 1998  
[ ] U.S. Patent No. issued

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having the rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. 37 CFR 1.27.

NAME:  
ADDRESS:  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NON-PROFIT ORGANIZATION  
NAME:  
ADDRESS:  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NON-PROFIT ORGANIZATION

I acknowledge the duty to file in this patent application or patent, notification of any change of status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 CFR 1.29(b).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 USC §1001, and that such willful false statements may jeopardize the validity of the patent application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Ron Levy  
ADDRESS OF PERSON SIGNING: c/o Unigene Laboratories, Inc. 110 Little Falls Road,  
Fairfield, New Jersey 07004

SIGNATURE: *Ronald S. Levy*

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